

REGULATIONS ON THE SUBMISSION OF ARTICLE-BASED THESES

**Doctoral programme:
Statistics and Operations Research**

- **Document approved by the Standing Committee of the Doctoral School on 25/02/2022. Decision CP.ED/2022/02/05**

Previous versions:

Document approved by the Standing Committee of the Doctoral School on 29/11/2016

Preamble

Article 10.2 of the UPC's Academic Regulations for Doctoral Studies, which were approved by the Governing Council on 19 July 2016, establishes that the academic committee of each doctoral programme must draw up specific regulations that include specific criteria for the submission of article-based theses. It corresponds to the Standing Committee of the Doctoral School to approve these regulations.

Thus, the Academic Committee of the Doctoral Programme in Statistics and Operations Research of the UPC approved these regulations at a meeting held on 27 January 2022.

The rules on article-based doctoral theses were ratified by the Standing Committee of the Doctoral School at a meeting on 25 February 2022, while the rules on monograph doctoral theses were ratified exclusively by the Academic Committee of the Doctoral Programme in Statistics and Operations Research.

1. Object

These regulations establish the criteria for approving applications to submit a **monograph doctoral thesis** or an **article-based doctoral thesis**; the latter essentially consists of a collection of reputable articles in which the doctoral candidate's participation has been significant.

2. **General requirements for the submission of a doctoral thesis in Statistics and Operations Research**

Considering the provisions of Article 10.2, the following general requirements for depositing a thesis for the doctoral programme in Statistics and Operations Research are established:

- The publications submitted as part of the thesis may not be submitted again as part of other doctoral theses.
- The publications must be the direct result of the work carried out by the doctoral candidate on the doctoral programme and be linked to the subject matter of the thesis.
- If there are co-authors who are not the doctoral candidate or the supervisor, the following must be submitted:
 - A justification of the contribution of the doctoral candidate to the article. The justification must refer to specific contributions made in the field of statistics and operations research.
 - Written authorisation of the co-authors of the publications for the doctoral candidate to submit them as part of the thesis. Only the permission of the first author and the corresponding author are required, without considering the doctoral candidate or the thesis supervisor(s). For example, if the doctoral

candidate is the first author, the permission of the second author and the corresponding author will be required (assuming the supervisor(s) are not among them).

- A waiver by co-authors who are not doctorate holders of the right to submit the published research as part of another doctoral thesis.
- Patents, which are legal and not scientific documents and may be written by persons other than the inventors, may not be included in the monograph or collection.
- As far as the authorisations of the co-authors and the waiver by co-authors who are not doctorate holders are concerned, they may be sent as e-mails from the co-author's institutional e-mail account to the doctoral candidate copied to the doctoral programme coordinator. When the thesis is deposited, copies of these e-mails must be included.

3. Requirements for the submission of a doctoral thesis in Statistics and Operations Research as a monograph

In addition to the provisions of Article 10.1 of the Academic Regulations, to deposit a doctoral thesis for the doctoral programme in Statistics and Operations Research an article must have been submitted to or published in a JCR-indexed journal. This must be justified by the publication itself or the document accepting the article for publication. If the article has been submitted but not published, documents showing that the article has been submitted and the journal's confirmation that the article has been sent to the reviewers, which confirms that the article has entered the peer review stage, must be provided. If it has already been reviewed, the evaluation documents in which the article's review is requested must be provided. If the article has been rejected, the supervisor shall undertake to send it to another JCR-indexed journal before the thesis is authorised for deposit. The thesis supervisor shall undertake to inform the academic committee (by sending an e-mail to the doctoral programme coordinator) when the article is finally published (with a view to future accreditation). If no article stemming from the thesis is published and therefore no notice is given, the academic committee of the doctoral programme will take appropriate measures, which may include establishing a period in which the supervisor involved may not supervise any new doctoral theses. By default, the academic committee sends monograph theses to two external, expert anonymous reviewers for review.

4. Requirements for the submission of a doctoral thesis in Statistics and Operations Research as an article-based thesis

Article-based theses must satisfy the following requirements:

- a. When the submission of an article-based thesis is applied for, **the articles must have been published or definitively accepted for publication.**
- b. The collection of articles must consist of three publications in JCR-indexed journals in the fields of Operations Research and Management Science or Statistics and Probability, or related areas, each of which must be authored by the doctoral candidate and at least one of the supervisors.
- c. In the case of articles in related areas a justification of the affinity of the journals must

be provided.

The doctoral theses in Statistics and Operations Research submitted as article-based theses are not sent to external, expert reviewers, as the articles' peer review process offers sufficient guarantee as to the quality of the theses.

In any case, the final decision on whether it is appropriate for the thesis to be submitted as an article-based thesis will be taken by the Academic Committee of the Doctoral Programme in Statistics and Operations Research.

5. Applications

To deposit a thesis in Statistics and Operations Research as a **monograph**, the usual documents established in the Academic Regulations (Article 12) must be submitted. The Academic Committee of the Doctoral Programme in Statistics and Operations Research includes as additional requirements:

- a) Authorisation of the thesis supervisor for the submission of an article-based thesis.
- b) If it has been published, the publication in PDF must be provided. If it has been submitted but has not yet been published, documents in PDF showing that the article has been submitted and the journal's confirmation that the article has been sent to the reviewers must be provided.
- c) Full bibliographic reference of the article, including authors, title, details of the publisher (journal, pages, year, DOI), area, quartile, impact factor and, if it has been published, the number of citations given in the Web of Science.

To deposit a doctoral thesis in Statistics and Operations Research as an **article-based thesis**, the Academic Committee of the Doctoral Programme in Statistics and Operations Research includes as additional requirements:

- a) Authorisation of the thesis supervisor for the submission of an article-based thesis.
- b) A list of the articles that make up the article-based thesis and their complete bibliographic references, including authors, title, details of the publisher (journal, pages, year, DOI), area, quartile, impact factor and, if they have been published, the number of citations given in the Web of Science.
- c) A justification of the affinity of the journals.
- d) An article-based thesis must include the following sections:
 - a. Cover featuring the title, the name of the author, the name of the supervisors and, in a clearly visible place, the phrase "Article-based thesis".
 - b. Abstract in English and Spanish or Catalan.
 - c. Table of contents.
 - d. Introduction discussing the state of the art and the thematic unity of the thesis.
 - e. Discussion of the results and conclusions.
 - f. Full text of the postprints of the articles in the collection or of the version accepted for publication if any of the articles have not been published when the thesis is submitted.
 - g. Optionally, copies of articles that are not part of the collection or that were

submitted for publication but were not accepted may be added as an appendix if they make the thesis easier to understand. Under no circumstances will these articles be considered an integral part of the collection whose appropriateness must be assessed by the Standing Committee.

6. Review and resolution

In the case of an article-based thesis, the academic committee shall meet to assess the appropriateness of submitting an article-based thesis. A favourable resolution may apply to all of the articles submitted or only some of them, if necessary. In this case, the works that may be included in the collection will be indicated. If the ruling is unfavourable, the academic committee will issue a resolution justifying its decision.

The academic committee may, if necessary, delegate checking the facts and authorising the application to the programme coordinator and indicate which articles may be included in the collection. If necessary, it may also appoint a member of the committee of the doctoral programme or an external reviewer who is an expert on the subject to assess whether the submission of an article-based thesis is appropriate.

The resolution in writing will be communicated to the doctoral candidate in writing within 10 teaching days from the date of submission.

7. Thesis deposit

The thesis must be submitted in accordance with the standard procedure outlined in the Academic Regulations for Doctoral Studies. The administrative unit will add the resolution of the academic committee that is authorising the submission of the article-based thesis to the academic record and inform the Doctoral School.

8. First additional provision: interpretation and deployment of the regulations

It corresponds to the academic committee of the doctoral programme to apply these regulations and to update them in view of the Academic Regulations for Doctoral Studies and/or on the proposal of the Doctoral School's Standing Committee.

9. Second additional provision: composition of the examination committee

Under no circumstances will the co-authors of articles in the collection be part of the examination committee.

10. Final provision: entry into force

These regulations enter into force the day after their approval by the Standing Committee of the Doctoral School.